



## UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/754,014	01/03/2001	Jeff Nordstrom	260/056

CONFIRMATION NO. 2763

## FORMALITIES LETTER



\*OC000000006074163\*

22249  
LYON & LYON LLP  
SUITE 4700  
633 WEST FIFTH STREET  
LOS ANGELES, CA 90071-2066

Date Mailed: 05/14/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.

*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*

07/24/2001 KZEW DIE 00000065 09754014

- Total additional claim fee(s) for this application is \$992.

- \$432 for 24 total claims over 20.

01 FC:201

355.00 OP

02 FC:205

65.00 OP

- \$560 for 7 independent claims over 3.

03 FC:202

280.00 OP

04 FC:203

216.00 OP

- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

- The balance due by applicant is \$ 1832.

- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

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*A copy of this notice **MUST** be returned with the reply.*



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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



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Patent  
Attorney Docket: 260/056

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Inventor: Jeff Nordstrom et al.

Serial No.: 09/754,014

Filed: January 3, 2001

For: GENE EXPRESSION AND  
DELIVERY SYSTEMS AND USES

)  
) Group Art Unit: To Be Assigned

)  
) Examiner: To Be Assigned

TRANSMITTAL OF MISSING PARTS

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

I. DOCUMENTS ENCLOSED:

In response to the **NOTICE TO FILE MISSING PARTS OF APPLICATION UNDER 37 CFR § 1.53(f)**, which was mailed by the Patent Office on May 14, 2001, enclosed are:

- ☐ Declaration
- ☐ Power of Attorney: ☐ Separate or ☐ Combined with Declaration
- ☒ Submission of Sequence Listing document,
- ☒ A copy of the Notice to File Missing Parts of Application under 37 CFR § 1.53(f)

LA-202093.1

CERTIFICATE OF MAILING  
(37 C.F.R. § 1.8a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

July 16, 2001  
Date of Deposit

Melody K. Gutierrez  
Name of Person Mailing Paper

[Signature]  
Signature of Person Mailing Paper

## II. REQUEST FOR EXTENSION OF TIME:

The proceedings herein are for a patent application and the provisions of 37 CFR § 1.136 apply.

- ☐ Applicant(s) petitions for an extension of time under 37 CFR § 1.136 [fees: 37 CFR § 1.17(a)(1)-(5)] for the total number of months checked below:

EXTENSION (months)	FEE FOR SMALL ENTITY	FEE FOR OTHER THAN SMALL ENTITY
<input type="checkbox"/> one month	\$55.00	\$110.00
<input type="checkbox"/> two months	\$195.00	\$390.00
<input type="checkbox"/> three months	\$445.00	\$890.00
<input type="checkbox"/> four months	\$695.00	\$1,390.00
<input type="checkbox"/> five months	\$945.00	\$1,890.00

Fee

- ☒ If any extension fee is required, please consider this a petition therefor.

## III. FILING FEES

- ☒ Applicant claims small entity status pursuant to 37 CFR 1.27.

<b>BASIC FILING FEE:</b>						\$710.00
Total Claims	44	-	20	=	24	x \$18.00 \$432.00
Independent Claims	10	-	3	=	7	x \$80.00 \$560.00
Multiple Dependent Claims	\$270	(if applicable)			<input type="checkbox"/>	\$0.00
Surcharge 37 CFR § 1.16(e)	\$130	(if applicable)			<input checked="" type="checkbox"/>	\$130.00
<b>TOTAL OF ABOVE CALCULATIONS</b>						<b>\$1,832.00</b>
Reduction by ½ for Filing by Small Entity. Note 37 CFR §§ 1.9, 1.27, 1.28.						<input checked="" type="checkbox"/> \$916.00
Extension of Time (from above)						\$0.00
Assignment -- \$40 (if applicable)						<input type="checkbox"/> \$0.00
<b>TOTAL FEES SUBMITTED HERewith</b>						<b>\$916.00</b>

## IV. METHOD OF PAYMENT OF FEES:

- ☒ A check in the amount of \$916.00 is enclosed to cover the above fee(s).
- ☐ Charge Lyon & Lyon's Deposit Account No. **12-2475** in the amount of \_\_\_\_\_.